

Wednesday, November 28, 2018
8:30 a.m. – 5:00 p.m. (All times Eastern Standard Time)

K&L GATES BOSTON INVESTMENT MANAGEMENT CONFERENCE

Advanced Topics in Investment Management

8:30-9:00	Registration
9:00—9:05	Welcome and Introduction Presented by <i>Michael S. Caccese</i>
9:05—10:05	Session I: Industry Regulatory Developments Speakers: <i>Mark P. Goshko; Richard F. Kerr; Trayne S. Wheeler; Frank Knox, Vice President and Chief Compliance Officer, John Hancock</i> Moderator: <i>Clair E. Pagnano</i> This session will include: <ul style="list-style-type: none">• SEC's New Liquidity Rule Implementation• SEC's SEC Enforcement Actions• SEC's New ETF Rule• SEC's Evolving View on Index Providers and Proxy Voting• SEC Enforcement Actions
10:05—11:05	Session II: Private Fund and Institutional Investor Developments Speakers: <i>Pamela A. Grossetti; Joel D. Almquist; Benjamin Deschaine, Chief Investment Officer and Partner, Balter Capital Management; Andrew Fagenholz, Senior Legal Counsel, Cambridge Associates</i> Moderator: <i>Kenneth Holston</i> This session will include: <ul style="list-style-type: none">• Hedge Fund and Private Fund Hot Topics• Private Equity Investment Hot Topics• Institutional Investor Concerns• Private Fund Tax Update
11:05—11:20	Break
11:20—12:20	Session III: Closed-End Funds, Interval Funds, Alternative Strategy Registered Funds, and Business Development Companies Speakers: <i>Mark P. Goshko, Clair E. Pagnano; Jon-Luc Dupuy; Pablo J. Man</i>
12:20—12:35	Break
12:35—1:20	Lunch Presentation: Outlook for the Global Asset Management Industry Speaker: <i>Michael S. Caccese</i>

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1:20—2:05

Session IV: ERISA Developments

Speaker: *Robert L. Sichel*

This session will include:

- Socially responsible / ESG investing
- Securities litigation recovery
- Lifetime income
- Litigation involving investment firms

2:05—3:05

Session V: Derivatives Updates

Speakers: *Michael W. McGrath, Kenneth Holston*

This session will include:

- Global Derivatives Regulatory Update
- CFTC Updates and Developments
- CLOs

3:05—3:20

Break

3:20—4:30

Session VI: Distribution Developments

Speakers: *Michael S. Caccese; Pamela A. Grossetti; Richard F. Kerr*

Moderator: *Michael W. McGrath*

This session will include:

- GIPS 2020 Update
- SEC Advertising Rule Amendments
- FINRA Update
- Distribution Compliance Challenges
- SEC Focus on Performance Reporting

4:30—5:00

Session VII: Global Regulatory Update

Speakers: *C. Todd Gibson; Michael W. McGrath*

5:00—End

Cocktail Hour
